



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## SPECIFIC SCHEDULE NO. 501-080

### THE VIRGINIA DEPARTMENT OF TRANSPORTATION

### INNOVATIVE FINANCE & REVENUE OPERATIONS –

### SMART TAG/EZ PASS

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

**AGENCY APPROVAL**

AGENCY HEAD OR DEPUTY

AGENCY RECORDS OFFICER

**STATE APPROVAL**

STATE RECORDS ADMINISTRATOR

EFFECTIVE SCHEDULE DATE SEP 28 2005

PAGE 1 OF 2 PAGES

**POLICIES FOR RECORDS RETENTION AND DISPOSITION**

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, §§ 42.1-76, et. seq. of the *Code of Virginia* for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the *Certificate of Records Disposal* (Form RM-3). A signed RM-3 must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 must be sent to Library of Virginia (LVA).
4. Any records created before the Constitution of 1902 came into effect (January 1, 1904) must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.
7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with §§ 17VAC15-20-10, et. seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must insure that information in confidential or privacy protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. Under the *Virginia Public Records Act*, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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PAGE 2 OF 2 PAGES

RECORDS SERIES AND DESCRIPTION

SERIES NUMBER

SCHEDULED RETENTION AND DISPOSITION

#### Smart Tag / EZ Pass Customer Accounts Database – General Customer Information Tables

This series contains the General Information Tables in the Customer Account Database, used to track information from Smart Tag applications that include customer name, address, telephone number, vehicle information, driver's license number, method of payment and financial account details.

0054

Retain until one (1) year after the account is closed, then delete and overwrite the information to prevent the data from being reconstructed.

#### Smart Tag / EZ Pass Customer Accounts Database – Toll Transactions Table

This series contains the Toll Transactions Table in the Customer Accounts Database, used to track customer toll activity, including tag and toll location, time and amount debited.

0055

Retain one (1) year after toll transaction, then delete and overwrite the information to prevent the data from being reconstructed. Disposal reporting on *Certificate of Records Disposal* (RM-3) not required.

#### Smart Tag / EZ Pass Customer Accounts – Paper

This series consists of Smart Tag applications and other forms and correspondence used to create and update the customer account database. (See Series 0054). The information includes customer name, address, phone number, vehicle information, driver's license number, method of payment and financial account details. These paper applications are scanned (See Series 0057) after the information has been entered into the Customer Accounts Database.

0056

Retain thirty (30) days after forms have been scanned and indexed, information has been entered into the database and all quality review processes are completed; then destroy by shredding.

#### Smart Tag / EZ Pass Customer Accounts – Images

This series consists of scanned images of Smart Tag applications (See Series 0056) and are retained for reference purposes.

0057

Retain scanned images for five (5) years. If necessary, migrate all current accounts to new media, then delete and overwrite the information on the old media to prevent the data from being reconstructed or physically destroy the media.